

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION Unemployment Insurance
	CORRESPONDENCE SYMBOL OUI
	DATE August 7, 2015

ADVISORY: UNEMPLOYMENT INSURANCE PROGRAM LETTER NO. 19-15

TO: STATE WORKFORCE AGENCIES

FROM: PORTIA WU /s/
Assistant Secretary

SUBJECT: Unemployment Insurance (UI) Supplemental Budget Request (SBR)
Activities: Quarterly Program Reporting Form & Instructions

1. **Purpose.** To notify State Workforce Agencies of the new Employment and Training Administration (ETA) Form 9165 for required reporting of quarterly progress and implementation updates for UI SBR grants.

2. **References.**

- Unemployment Insurance Program Letter (UIPL) No. 10-11, *Fiscal Year (FY) 2011 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 26-11, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 10-12, *Fiscal Year (FY) 2012 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 18-12, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity, Performance, and System Improvements*;
- UIPL No. 28-12, *Supplemental Funding Opportunity for the Establishment of an Unemployment Insurance (UI) Integrity Center of Excellence*;
- UIPL No. 24-13, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 10-14, *Fiscal Year (FY) 2014 Unemployment Insurance (UI) Reemployment and Eligibility Assessment (REA) Grants*;
- UIPL No. 13-14, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*;
- UIPL No. 13-14, Change 1, *Unemployment (UI) Supplemental Funding for Reemployment and Eligibility Assessment (REA) Programs*;
- UIPL No. 18-14, *Fiscal Year 2014 Unemployment Insurance Worker Misclassification Prevention and Detection Supplemental Funding Opportunity*;
- UIPL No. 13-15, *Fiscal Year (FY) 2015 Unemployment Insurance (UI) Reemployment Services and Eligibility Assessment (RESEA) Grants*; and
- UIPL No. 16-15, *Unemployment Insurance (UI) Supplemental Funding Opportunity for Program Integrity and Performance and System Improvements*.

RESCISSIONS None	EXPIRATION DATE Continuing
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- 3. Background.** In recent years, ETA provided states with SBRs to accelerate actions to prevent and reduce improper payments, improve program performance, support states' information technology system modernization efforts, and fund other priority initiatives such as enhanced reemployment activities and the prevention of worker misclassification. ETA announced these supplemental funding opportunities in FY 2011 (UIPLs No. 10-11 and No. 26-11), FY 2012 (UIPLs No. 10-12, No. 18-12, and No. 28-12), FY 2013 (UIPL No. 24-13), FY 2014 (UIPLs No. 10-14, No. 13-14, No. 13-14 Change 1, and No. 18-14), and FY 2015 (UIPL No. 13-15 and No. 16-15). ETA may continue to offer SBR opportunities in the future, based on the availability of funding.

Currently, each ETA regional office manages project status reporting on SBR grants following its own guidelines and procedures. The new ETA Form 9165 was developed for use by the National and regional offices to obtain formal project status reports from states to ensure consistent monitoring of progress made on projects funded through SBR grants and provide any technical assistance that may be required for successful implementation.

The information to be collected in this report is frequently requested by the public and ETA makes the status of projects, such as those related to program integrity projects, available on a quarterly basis via a Web site, <http://www.dol.gov/dol/maps/map-ipia.htm>. The ETA 9165 report is expected to provide consistency in how states report implementation status of SBR projects. ETA will use this information to track progress made by the states and assess the impact on program operations and performance.

- 4. Reporting Requirements.** State workforce agencies are required to submit ETA 9165 reports on active SBR grants by e-mail to their ETA regional office no later than 45 days after the end of each reporting quarter. Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the previous business day. Additionally, states must electronically submit the 9130 report (OMB Control Number 1205-0461) to their ETA regional office quarterly.

The information gathered through the new ETA 9165 report will include the funded SBR project title and purpose, project timeline and milestones, and a narrative description of the project's implementation status. It will also include explanations of any delays in implementation; proposals for addressing any problems that caused the delay and new project timelines, if applicable; a self-reported designation of the implementation status (i.e. complete/ahead of schedule/on schedule/or behind schedule); and a discussion of identified technical assistance needs for the successful completion of the project.

Within 30 days of receiving the report, an ETA Federal Project Officer will review and accept the report and contact the state if clarifications are needed. The accepted reports will then be saved in ETA's online grants management system as part of the official grant file.

5. Implementation Timeline for Reporting. The following implementation timeline will be used for the ETA 9165 reports:

- Starting with the quarter ending September 30, 2015, state workforce agencies must report on all active SBR projects funded under UIPLs No. 28-12, No. 10-14, No. 13-14, No. 13-14 Change 1, and No. 18-14. States must submit these reports to their regional office no later than Friday, November 13, 2015.
- For the quarter ending December 31, 2015, the states must provide updates to the quarterly reports previously filed, and submit new reports on any ongoing core SBR projects, Reemployment Eligibility Assessments (REAs), or consortium SBR projects funded under UIPLs issued in FYs 2011, 2012 and 2013 that are not yet completed. States must submit these reports to their regional office no later than Friday, February 12, 2016.
- In addition, states receiving new grants under UIPL No. 13-15, No. 16-15, or other FY 2015 SBR funding opportunities must start reporting on all projects in the quarter ending December 31, 2015. States must submit these reports to their regional office no later than Friday, February 12, 2016.
- Subsequently, states must provide quarterly updates to these reports according to the schedule below, which is published in the attached instructions:

Reporting Quarters	Due Dates
October 1 st – December 31 st	February 14 th
January 1 st – March 31 st	May 15 th
April 1 st – June 30 th	August 14 th
July 1 st – September 30 th	November 14 th

- Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the previous business day.

States should refer to their grant award letter for each fiscal year award to identify the projects that are core SBR, REA, or consortium SBR projects. For SBRs provided to state consortia for IT modernization projects, the lead state is expected to provide the status report on behalf of the partner states.

ETA may request that a state complete an ETA 9165 report for individual SBR projects categorized as incentive, focus, or optional strategies in FYs 2011, 2012, and 2013. This could occur, for example, if ETA has concerns that there is a financial issue that should be monitored, such as a short liquidation deadline. An ETA Federal Project Officer will notify the state if a report is requested for one of these ongoing projects, and the state will include the report as part of the next quarter's submission. In future years, the reporting

requirements will apply to all SBR projects funded, including any incentive, focus, or optional strategies.

States must ensure that an ETA 9165 report is provided for each project covered by the reporting requirements. For example: a state is implementing four projects under UIPL No. 13-14 and one ongoing core project under UIPL No. 18-12. For the first quarter that the ETA 9165 is due (ending September 30), the state must submit four documents to report on each project activity funded under UIPL No. 13-14. In the second quarter (ending December 31), the state must update the four report documents provided earlier and must submit one new document to report on the core activity funded under UIPL No. 18-12. The state must continue to submit updates for each of these five documents in each ensuing quarter until the project is completed.

6. **OMB Approval.** The Quarterly Narrative Progress Report for UI SBR Activities has been approved by the Office of Management and Budget (OMB) in accordance with the Paperwork Reduction Act of 1995. The OMB Control Number is 1205-0517 with an expiration date of May 31, 2018.
7. **Action Requested.** State administrators should distribute this advisory to appropriate staff.
8. **Inquiries.** Questions should be directed to the appropriate regional office.
9. **Attachment.**
 - Unemployment Insurance Supplemental Budget Request Activities: Quarterly Program Reporting Form and Instructions
 - Form ETA-9165



OMB Control Number 1205-0517

Expiration Date: 05/31/2018

Unemployment Insurance Supplemental Budget Request Activities:

Quarterly Program Reporting Form & Instructions

Prepared By
Employment and Training Administration
United States Department of Labor

Public Burden Statement

This reporting requirement is approved under the Paperwork Reduction Act of 1995. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 10 hours for the first two quarterly reports and an average of 5 hours for future quarterly reports, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. Responses will be used for general program oversight, evaluation, and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210.

I. GENERAL INSTRUCTIONS

Recipients of funding for Unemployment Insurance Supplemental Budget Request (SBR) activities are required to submit quarterly progress reports to the United States Department of Labor’s Employment and Training Administration (USDOL/ETA) in order to comply with the reporting and record keeping requirements of these grants. Each state recipient of SBR funds must submit a narrative Quarterly Progress Report (QPR) containing updates on the progress and implementation of each grant project as listed in the award letter. The instructions and performance reporting form (ETA 9165) for completing this report can be found under Section II and Appendix A of these instructions. Should changes in definitions resulting from new legislation or related regulations occur, appropriate revisions will be issued to reflect these changes.

II. REPORT FORMS AND INSTRUCTIONS

The QPR provides narrative updates on the implementation of projects as described in each state’s statements of work and a self-assessment of the status of each project per quarter. The instructions for states to complete the QPR can be found under Appendix A. The format for the QPR can be found in Attachment A.

III. DUE DATES

All quarterly reports under Section II are due to ETA no later than 45 days after the end of each reporting quarter. The table below shows the expected due dates for each reporting quarter.

Reporting Quarters	Due Dates
October 1 st – December 31 st	February 14 th
January 1 st – March 31 st	May 15 th
April 1 st – June 30 th	August 14 th
July 1 st – September 30 th	November 14 th

Should the due date of the report fall on a Saturday, Sunday, or holiday, the report is due the previous business day.

IV. SUBMISSION PROCEDURES

Information contained in the UI SBR quarterly reports (ETA 9165) must be submitted by email directly to the ETA regional office. An ETA Federal Project Officer will review and accept the report within 30 days of receipt, saving the document in ETA’s online grants management system as part of the official grant file. A grantee must specifically request approval through the Federal Project Officer prior to submitting any modifications to a submitted report. The modification will then be reviewed by the Federal Project officer and submitted to the ETA national office for comment and approval.

Appendix A

**Instructions for Completing the
Quarterly Narrative Progress Report (ETA 9165)
Unemployment Insurance Supplemental Budget Request Activities**

SBR General Information

State Name:

Grant Number:

Report Quarter Ending:

Date of Submission:

Project Name: This is the name of the funded project identified in the grant statement of work. States shall complete one full report (Parts A-I) per funded project.

UIPL Number: This is the number of the UI Program Letter from which the supplemental funding was obligated.

Project Contact Information

Contact Information:

This section is to provide the contact information (i.e., Name, Title, Address, etc.) for the state official who is the project lead responsible for the day-to-day operation and implementation of the project. This may be a different person than the project certifying official.

Project Report

A. Summary of Project

This section is an executive summary of the project. Each funded SBR project will have its own separate quarterly progress report (ETA 9165) through the quarter the project ends. Use this section to provide a short summary of the project's purpose. This summary should only change during the life of the grant if the state has received an approved modification to the grant Statement of Work.

B. Timeline for Grant Activities, Milestones, and Deliverables

Use this section to provide the timelines for and the progress in completing grant activities, key milestones, and deliverables for this quarter. Use the timeline in the grant's statement of work to identify all major program activities for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it be updated each quarter noting the actual date of completion as each activity is accomplished. Items to incorporate in the timeline include: project goals, milestones, special events, important deadlines and deliverables.

C. Project Implementation and Funding Status

Use this section to provide a description of the implementation of key activities in line with the grant’s Statement of Work for the current quarter. Place an ‘X’ in one of the four check-boxes provided below to provide an assessment of implementation progress. The assessment should be supported by the status narrative noting if the project is on schedule, behind schedule, ahead of schedule, or complete this quarter. In addition, please provide the funding status for this project for the end of the quarter, including the total funding, total obligated, funding balance, and time remaining to expend funds. The funding totals should match the quarterly totals reported in the ETA 9130 form.

D. Project Challenges, Risk Mitigation Efforts/Modification Requests, and Technical Assistance Needs

Use this section to summarize any significant challenges to project implementation encountered during the quarter, and describe any risk mitigation efforts or actions taken to address the identified challenges. In addition, a status update shall be provided on the resolution of challenges identified in previous quarters. This section should also include any questions you have for DOL and note any identified needs for technical assistance from DOL or others. The narrative should also indicate whether the grantee is requesting a modification to any project strategies and how the modification request changes the original project proposal. If a modification has been requested, the narrative should also indicate the status of the modification request. If states have nothing to report, that should be specified.

E. Best Practices, Promising New Strategies and Success Stories

Use this section to describe promising approaches, innovative processes, or grant success stories. States may also describe any lessons learned and how those lessons learned will be implemented. Throughout the implementation of the project, states may discover new strategies that emerge as a result of data-driven continuous improvement. As progress is made with a new and promising strategy, or as data is gathered to support it, states should document the progress and data each quarter. If states have nothing to report, that should be specified.

F. Additional Outcome Information

This section allows states to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work.

Certification

G. Name of Grantee Certifying Official

Use this section to provide the name of the state official who is certifying submission of the report to the Department.

H. Telephone Number

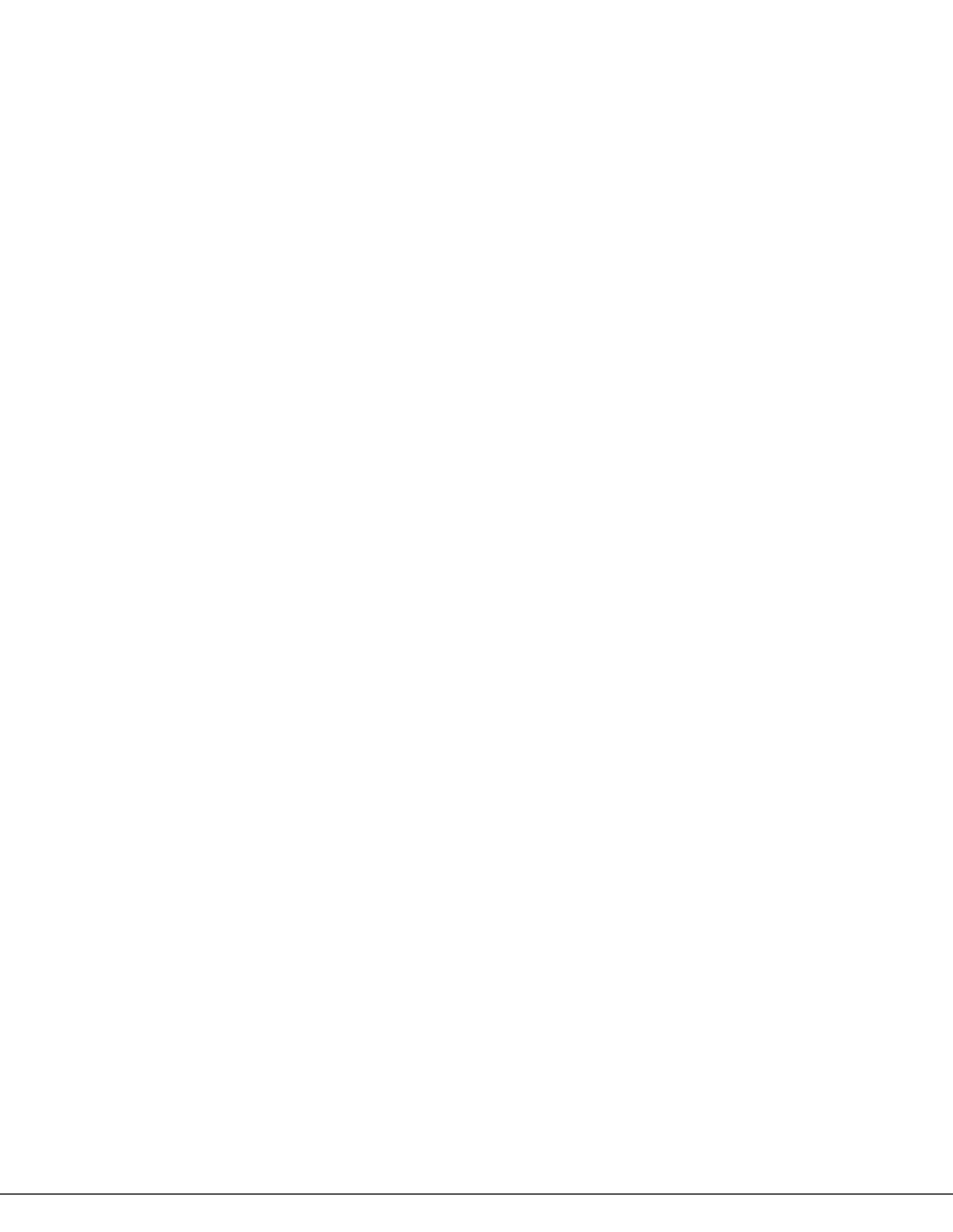
Provide the area code (###) and telephone number ((###) ###-####) of the authorized state official.



I. Email Address

Provide the email address of the authorized state official.

Attachment A – Form ETA-9165 (Word file)



Quarterly Narrative Progress Report Unemployment Insurance Supplemental Budget Request Activities

SBR General Information

State Name:	Grant Number:	Report Quarter Ending:	Date of Submission:
Project Name:	UIPL Number:		

Project Contact Information

Name:	Agency:		
Title:	Address:		
Phone:	Ext:	City:	
E-Mail:	State:	Zip Code:	

Project Report

A. Summary of Project

Please limit your response to 1000 characters or less.

This section is an executive summary of the project. Each funded SBR project will have its own separate quarterly progress report (ETA 9165) through the quarter the project ends. Use this section to provide a short summary of the project's purpose. This summary should only change during the life of the grant if the state has received an approved modification to the grant Statement of Work.

B. Timeline for Grant Activities and Milestones or Deliverables

Please limit your response to 1000 characters or less.

Use this section to provide the timelines for and the progress in completing grant activities, key milestones, and deliverables for this quarter. Use the timeline in the grant's statement of work to identify all major program activities for the entire life of the grant. The timeline will paint a picture of project flow that includes start and end dates, schedule of activities, and projected outcomes. In order to reap the most benefit from the timeline, it is important that it be updated each quarter noting the actual date of completion as each activity is accomplished. Items to incorporate in the timeline include: project goals, milestones, special events, important deadlines and deliverables.

C. Project Implementation and Funding Status

Please limit your response to 1000 characters or less.

Use this section to provide a description of the implementation of key activities in line with the grant's Statement of Work for the current quarter. Place an 'X' in one of the four check-boxes provided below to provide an assessment of implementation progress. The assessment should be supported by the status narrative noting if the project is on schedule, behind schedule, ahead of schedule, or complete this quarter. In addition, please provide the funding status for this project for the end of the quarter, including the total project funding, total obligated, funding balance, and time remaining to expend funds/expenditure target.

State Self-Assessment:	On Schedule	Behind Schedule	Ahead of Schedule	Complete this Quarter
Total Project Funding	Total Obligated	Funding Balance	Expenditure Target	

D. Project Challenges, Risk Mitigation Efforts/Modification Requests, and Technical Assistance Needs

Please limit your response to 1500 characters or less.

Use this section to summarize any significant challenges to project implementation encountered during the quarter, and describe any risk mitigation efforts or actions taken to address the identified challenges. In addition, a status update shall be provided on the resolution of challenges identified in previous quarters. This section should also include any questions you have for DOL and note any identified needs for technical assistance from DOL or others. The narrative should also indicate whether the grantee is requesting a modification to any project strategies and how the modification request changes the original project proposal. If a modification has been requested, the narrative should also indicate the status of the

modification request. If states have nothing to report, that should be specified.

E. Best Practices, Promising New Strategies and Success Stories

Please limit your response to 1000 characters or less.

Use this section to describe promising approaches, innovative processes, or grant success stories. States may also describe any lessons learned and how those lessons learned will be implemented. Throughout the implementation of the project, states may discover new strategies that emerge as a result of data-driven continuous improvement. As progress is made with a new and promising strategy, or as data is gathered to support it, states should document the progress and data each quarter. If states have nothing to report, that should be specified.

F. Additional Outcome Information

Please limit your response to 1000 characters or less.

This section allows states to report any grant-specific outcomes not captured in other sections of the quarterly narrative progress report, including, but not limited to, any specific outcomes included in the statement of work.

Certification	
Name of Grantee Certifying Official:	
Phone:	
E-Mail Address:	

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. 1205-0517, expiring 05/31/2018. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection of information is estimated to average 10 hours for the first two quarterly reports and an average of 5 hours for future quarterly reports, including time for reviewing instructions, searching existing data sources, gathering and reviewing the collection of information. The reason for the collection of information is general program oversight, evaluation and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Labor, Employment and Training Administration, Office of Performance and Technology, 200 Constitution Avenue, NW, Room S-5206, Washington, D.C. 20210.